



PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/684,508	
	Filing Date	October 15, 2003	
	First Named Inventor	Livia POLANYI et al.	
	Art Unit	2644	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	45p&21 rfs	Attorney Docket Number	FX/A3010-317006

ENCLOSURES (Check all that apply)		
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<input type="checkbox"/> Response to Missing Parts/Incomplete Application	1 Preliminary Amendment including 4 replacements sheets and 4 annotated sheets of drawings;	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	1 IDS Statement including 1 PTO/SB 08A (1449); 9 patent & 12 non-patent references; and	
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Christian Austin-Hollands (Reg. No. 46,527) Customer No. 31011
Signature	
Date	30-Jul-2004

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 10/684,508  
Applicants : Livia POLANYI et al.  
Filed : October 15, 2003  
TC/A.U. : 2644  
Examiner : NOT YET AVAILABLE  
Docket No. : FX/A3010-317006  
Customer No. : 31011

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully submitted that the references and information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), OR (b) before the mailing date of a first Office Action on the merits. No certification or fee is required.

☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.)

☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; AND

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

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☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

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a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that was not in the English language is either enclosed herewith, or incorporated in the application specification.

☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.

☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon under 35 U.S.C. § 120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).

☒ 8. A copy of each copending application recited in the parent

application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

Respectfully submitted,



Christian Austin-Hollands

Registration No. 46,527

Date: July 30, 2004

**CHRISTIAN AUSTIN-HOLLANDS ESQ.**  
**P.O. Box 170325**  
**San Francisco, CA 94117**  
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PTO/SB/08A (08-03)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete If Known**

Application Number	10/684,508
Filing Date	October 15, 2003
First Named Inventor	Livia POLANYI et al.
Art Unit	2644
Examiner Name	NOT YET AVAILABLE
Attorney Docket Number	FX/A3010 / 317006

Sheet	1	of	3
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## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Examiner Name	NOT YET AVAILABLE
Attorney Docket Number	FX/A3010 / 317006

Sheet 2 of 3

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		JING, H., MCKEOWN, K., "Cut and Paste Based Text Summarization, in Proceedings of the North American Association for Computational Linguistics, 2000.	✓
		HINRICHS, E., POLANYI, L., "Pointing the Way: A unified Treatment of Referential Gesture in Interactive Contexts", in Proceedings of the Parasession of the Chicago Linguistics Society Annual Meetings (Pragmatics and Grammatical Theory) Chicago, 1986.	✓
		HOVY, E., "Automated Discourse Generation Using Discourse Structure Relations", Artificial Intelligence, 63: 341-385, Amsterdam, 1993.	
		MANN, W., THOMPSON, S., "Rhetorical Structure Theory", TEXT 8:3 pp 243-281, 1988.	
		MCKEOWN, K., "Text Generation: Using Discourse Strategies and Focus Constraints to Generate Natural Language Text", Cambridge University Press, 1985.	
		POLANYI, L., SCHA, R., "On the Recursive Structure of Discourse" in Ehlick and van Riemsdijk, Connectedness in Sentence Discourse and Text, pp. 141-178, Tilburg University, Netherlands, 1984.	
		POLANYI, L., SCHA, R., "A Syntactic Approach to Discourse Semantics" in Proceedings of COLING, 413-419, Stanford, CA 1984.	✓
		ROBINSON, J., "A Machine-oriented Logic Based on the Resolution Principle", Journal of the ACM, 12 : 23-41, 1965.	✓
		InXight Summarizer: Managing the Information Deluge: Inxight White Paper Series, Inxight Software Inc., 2002., downloaded from <a href="http://www.inxight.com/pdfs/summarizer_managing_deluge.pdf">http://www.inxight.com/pdfs/summarizer_managing_deluge.pdf</a> on July 8, 2004.	
		L. POLANYI et al., "System and Method for Teaching Writing Using Microanalysis of Text", U.S. Patent Application 09/609,325.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)	<b>Application Number</b>		10/684,508
	<b>Filing Date</b>		October 15, 2003
	<b>First Named Inventor</b>		Livia POLANYI et al.
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	<b>Attorney Docket Number</b>		FX/A3010 / 317006
Sheet	3	of	3

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		L. POLANYI et al., "System and Method for Writing Analysis Using the Linguistic Discourse Model", U.S. Patent Application 09/630,371.	
		L. POLANYI et al., "System and Method for Generating Text Summaries", U.S. Patent Application 09/689,779.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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